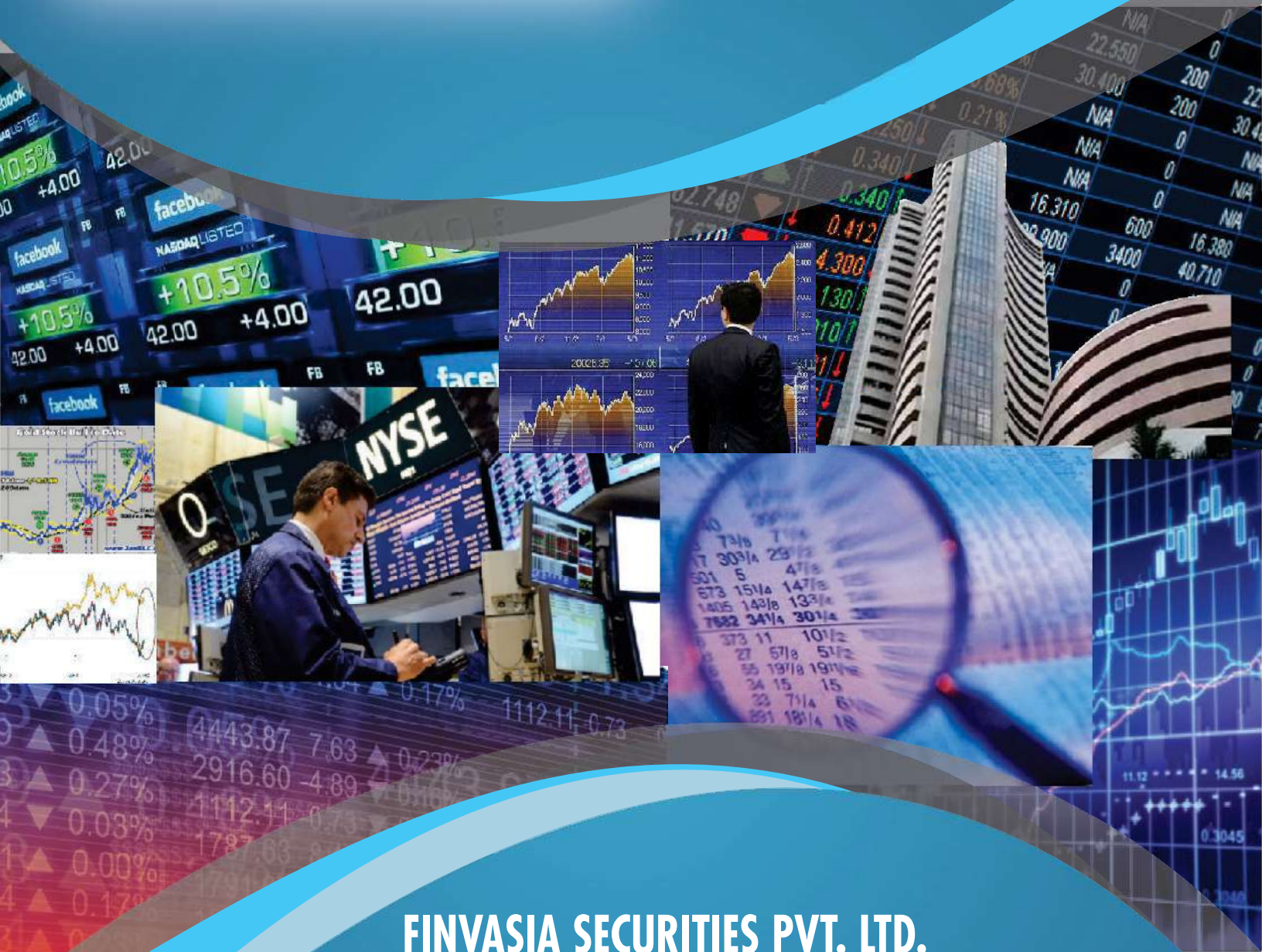


CLIENT REGISTRATION FORM

DEMAT & TRADING

(NON-INDIVIDUALS)



FINVASIA SECURITIES PVT. LTD.

MEMBER : NSE & BSE • DP : CDSL

Form No. Branch Code

Client Name

Trading Code

Account No. DP-ID BO ID

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity:

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FI/sub account Power of Attorney given by FI/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.

- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non Individuals additional documents to be obtained from non-individuals over & above the POI & POA, as mentioned below :

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorized signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorized signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

- Additional documents in case of trading in derivatives segments - illustrative list :

• Copy of ITR Acknowledgement	• Net Worth Certificate	• Any other relevant documents substantiating ownership of assets.
• Copy of Annual Accounts	• Copy of Demat account holding statement.	• Self declaration with relevant supporting documents.
• In case of salary income - Salary Slip, Copy of Form 16	• Bank account statement for last 6 months	

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

- Demat master or recent holding statement issued by DP bearing name of the client.

For individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

ANNEXURE - I
ACCOUNT OPENING KIT

Mandatory

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC (Account Opening) Application Form	KYC form - Document captures the basic information about the constitute and an instruction / check list.	1-2
2.	Uniform Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Equity Market.	By Email
3.	Rights and Obligations of Members, AP and Clients	Document stating the Rights & Obligation of Member, Authorized Person and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	By Email
4.	Do's and Don'ts for the Investors	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	By Email
5.	Policies & Procedures	Policies and procedures as per Exchange.	By Email
6.	Trading A/c Related Details	Past Action, Dealing Through Other Member, Introducer Details etc.	3-5
7.	Tariff Sheet	Brokerage/Operational cost, Intimation by the member for proprietary trading & software charges.	5-5
8.	KYC Form for Demat Account	Additional KYC form for opening Demat account for Non-Individuals & SMS alerts facility	6-8
9.	Tariff Sheet (CDSL)	Tariff Sheet for Depository Services	9-9

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER*

10.	Running Account Authorisation	10-10
11.	Fatca & CRS Declaration	11-12
12.	Term & Conditions-Cum registration	13-14
13.	Addendum to the Client Registration Form/ Key Information	15-15
14.	Authorisation for Electronic Communication	16-16
15.	Checklist for Client Registration Form & Option Form For Issue of DIS BOOKLET	17-18
16.	Most Important Terms and Conditions (MITC)	19-19



Finvasia Securities Pvt. Ltd.

Member : NSE & BSE (Capital Market, F&O and Currency Derivative Segment)

SEBI Regn. No.: INZ000176037 • Member ID (NSE) 14846, (BSE) 4043

Research Analyst No.: INH000011927 - DP-CDSL • DP ID : 12084300 • SEBI Regn. No.: IN-DP-317-2017

Regd. & Corporate Office :

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74), Mohali, Punjab-160055 (India)

Ph.:+91 9779 902 002, Fax : 0172-6670070

E-mail : cdsldp@shoonya.com • Website : www.shoonya.com

Compliance Officer

HARDEEP SINGH

Ph.: +91 9779 902 002

Email : ccofspl@shoonya.com

CEO

SARVJEET SINGH

Ph.:+91 9779 902 002

Email : ccofspl@shoonya.com

For any grievance/dispute please contact Finvasia Securities Private Limited at FINVASIA CENTRE, D-179, Phase 8B, (Sector 74), Mohali, Punjab - 160055, Phone: +91 9779 902 002 & E-mail: complaints@shoonya.com. In case not satisfied with response, Please contact the concern exchange(s)/Depository at:

Exchange Name

National Stock Exchange of India Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

Central Depository Services (India) Ltd. (CDSL)

E-mail Id

ignse@nse.co.in

is@bseindia.com

complaints@cdslindia.com

Phone No.

022-26598190, 18002660058

022-22728097

022-22723333

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual
Please fill this form in ENGLISH and in BLOCK LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No.
A IDENTITY DETAILS

<input type="checkbox"/>	Name of the Applicant	
<input type="checkbox"/>	Date of Incorporation	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	Date of commencement of business	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	Permanent Account Number (PAN)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	Registration No. (e.g. CIN)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	Status (Please tick any one)	
<input type="checkbox"/>	Private Limited Co.	<input type="checkbox"/> Public Ltd. Co.
<input type="checkbox"/>	Trust	<input type="checkbox"/> Charities
<input type="checkbox"/>	HUF	<input type="checkbox"/> AOP
<input type="checkbox"/>	Defense Establishment	<input type="checkbox"/> BOI
<input type="checkbox"/>	Body Corporate	<input type="checkbox"/> Partnership
<input type="checkbox"/>	NGO's	<input type="checkbox"/> FI
<input type="checkbox"/>	Bank	<input type="checkbox"/> Government Body
<input type="checkbox"/>	Society	<input type="checkbox"/> Non-Government Organization
<input type="checkbox"/>	LLP	<input type="checkbox"/> Others (Please specify)

B ADDRESS DETAILS

<input type="checkbox"/>	Correspondence Address	
<input type="checkbox"/>	City / Town / Village	
<input type="checkbox"/>	State	
<input type="checkbox"/>	Country	
<input type="checkbox"/>	Pin Code	
<input type="checkbox"/>	Contact Details	
<input type="checkbox"/>	Tel. (Off.)	
<input type="checkbox"/>	Tel. (Res.)	
<input type="checkbox"/>	E-Mail Id.	
<input type="checkbox"/>	Specify the Proof of Address submitted for Correspondence Address:	
<input type="checkbox"/>	Registered Address (If different from above)	
<input type="checkbox"/>	City / Town / Village	
<input type="checkbox"/>	State	
<input type="checkbox"/>	Country	
<input type="checkbox"/>	Pin Code	

C OTHER DETAILS

<input type="checkbox"/>	Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :	
<input type="checkbox"/>	DIN OF Whole time directors :	
<input type="checkbox"/>	AADHAR No. OF Promoters/Partners/Karta :	

D DECLARATION

i/we hereby declare that the kyc details furnished by me are true and correct to the best of my/our knowledge and belief and i/we under-take to inform you of any changes therein, immediately. in case any of the above information is found to be false or untrue or misleading or misrepresenting, i am/we are aware that i/we may be held liable for it. i/we hereby consent to receiving information from cvl kra through sms/email on the above registered number/email address. i am/we are also aware that for aadhaar ovd based kyc, my kyc request shall be validated against aadhaar details. i/we hereby consent to sharing my/our masked aadhaar card with readable qr code or my aadhaar xml/digilocker xml file, along with passcode and as applicable, with kra and other intermediaries with whom i have a business relationship for kyc purposes only.

 Date

Name & Signature of the Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY
☐ Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

 Date

 Place : _____

Seal/Stamp of the Intermediary

Details of Promoters / Partners / Karta / Trustees and Whole Time Directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

1. Name																													
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																													
3a. PAN						3b. DIN/ UID																							
4. Residential/ Registered Address																													
City / Town / Village										Country										Pin Code									
State																													

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1. Name																													
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																													
3a. PAN						3b. DIN/ UID																							
4. Residential/ Registered Address																													
City / Town / Village										Country										Pin Code									
State																													

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1. Name																													
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																													
3a. PAN						3b. DIN/ UID																							
4. Residential/ Registered Address																													
City / Town / Village										Country										Pin Code									
State																													

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1. Name																													
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																													
3a. PAN						3b. DIN/ UID																							
4. Residential/ Registered Address																													
City / Town / Village										Country										Pin Code									
State																													

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1. Name																													
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																													
3a. PAN						3b. DIN/ UID																							
4. Residential/ Registered Address																													
City / Town / Village										Country										Pin Code									
State																													

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

1(a)

k-aE=C=paÖa~iêE=çN-nüEaêEÇ=paÖa~içêó=EaEêF

(2)

Date:

D	D
---	---

 /

M	M
---	---

 /

Y	Y	Y	Y
---	---	---	---

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE, BSE
<input type="checkbox"/> ALL Segments	<input type="checkbox"/> Cash/Mutual Fund <input type="checkbox"/> F&O <input type="checkbox"/> CDS

If you do not wish to trade in any of segments/Mutual Fund, Please mention here

D. FINANCIAL & OCCUPATION DETAILS

- Gross Annual Income Details : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore
Net Worth (Net worth should not be older than 1 year) Amount Rs.....
as on (date) (Compulsory for Non-Individuals)
- Occupation : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional
(please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others_____Please Specify
- Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
- Any other information :

E PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

F. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person, provide the following details:			
Authorised Person's Name			
SEBI Registration number			
Registered office address			
Ph.		Fax	
		Website	
Whether dealing with any other stock broker/authorised person (if case dealing with multiple stock brokers/authorised person, provide details of all)			
Name of stock broker			
Name of Auth. Person, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/Authorised Person			

G. ADDITIONAL DETAILS


Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contact Notes <input type="checkbox"/> Electronic Contract Note
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	
Any other information	

H. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

 Signature of Client / All Authorized Signatory (ies)

Place _____

Date

D	D	—	M	M	—	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For **FINVASIA SECURITIES PVT. LTD.**

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

TARIFF CHARGES

1. All Charges (namely : Exchnage Transaction Charges ,Clearing Member Charges ,SEBI Fee etc.) and Statutory Taxes (GST & Stamp Duty etc.) Shall be charged as per rates applicable from time to time In addition to brokerage.
2. Brokerage/ operational cost of ₹ 5 or 0.03% (whichever is lower) plus GST will apply to executed orders in Equity Intraday, Futures, Currency and Commodity Derivatives trades. Flat ₹5 plus GST on per executed order in all Options.
3. Charges mentioned above are in respect of services mentioned above only and charges for any service provided to client other than those listed above shall be charged extra.
4. Late payment penalty @2% p.m. calculated on daily overdue balance shall be charges till actual relaisation.
5. There shall be no software charges, However in case of any change in future, clients will be informed with two months notice.
Shoonya (Exe/Web/Mob) : Zero Charges
6. I/We hereby authorize you to Debit charges in respect of pledge of securities against margin/settlement obligations to Exchanges, Clearing Member, Clearing Corporation, Banks or any other Financial Institutions from my Trading Account.

4

(Client Signature)



ACCOUNT OPENING FORM NON-INDIVIDUALS

FINVASIA SECURITIES PVT. LTD.

SEBI REGN. NO.: IN-DP-317-2017 DP ID 12084300

FINVASIA CENTRE, D179, Phase 8B, (Sector 74), Mohali, Punjab-160055 (India)

Ph.: +91 9779 902 002, Fax: 0712-6670070, E-mail: cdsldp@shoonya.com



ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR NON-INDIVIDUALS

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	8	4	3	0	0	Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/First Holder's Name											PAN								
											UID								
UCC										Exchange Name & ID									
Second Holder's Name											PAN								
											UID								
Third Holder's Name											PAN								
											UID								
Search Name																			

Name*

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status										Sub-Status (To be filled by the DP)			
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII								
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify) _____										
SEBI Registration No. (if applicable)					SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)					RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)					ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____												
I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')										[Automatic Credit] Yes <input type="checkbox"/> No <input type="checkbox"/>			
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')										Yes <input type="checkbox"/> No <input type="checkbox"/>			
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly												

I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	Yes <input type="checkbox"/> No <input type="checkbox"/>
I/We would like to share the email ID with the RTA	Yes <input type="checkbox"/> No <input type="checkbox"/>
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic

OTHER DETAILS

Gross Annual Income Details	Income Range per annum :									
	<input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000									
	Net Worth as on (date) <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y Rs. _____ (Net Worth should not be older than 1 year)									
Please tick if any of the authorized signatories / Promoters / Partners / Karta/ Trutees / Whole Time Directors is either <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) Please provide details as per Annexure 2.2.A.										
Any other information _____										

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange											
Name of CC / CH											
Clearing Member ID						Trading Member ID					
I/We wish to receive dividend/interest directly in to my bank account given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]							Yes <input type="checkbox"/> No <input type="checkbox"/>				


BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
IFS Code (11 Character)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Number										
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City	<input type="text"/>	State	<input type="text"/>	Country	<input type="text"/>	PIN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO.
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 ➤ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		<input type="checkbox"/> Yes <input type="checkbox"/> No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure 2.6	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	 5		

(Signatures should be preferably in black ink)

(In case of more authorised signatories, please add annexure)



TARIFF FOR DEPOSITORY SERVICES

Sl. No.	TRANSACTION DETAIL	RETAIL CLIENTS	BSDA CLIENTS	CORPORATE CLIENTS
1.	Demat Account Opening Charges	Nil	Nil	Nil
2.	Account Maintenance Charges	Nil	Nil	Rs. 900/- (P.A.)
3.	DDPI Services	Rs. 100/- (One Time)	Rs. 100/- (One Time)	Rs. 100/- (One Time)
4.	Transaction Charges per ISIN: (a) Buy (Receive) (b) Sell (Debit) (c) Off Market Transactions	Nil Rs. 9/- Rs. 9/-	Nil Rs. 9/- Rs. 9/-	Nil Rs. 25/- Rs. 25/-
5.	Demat (Per certificate)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
6.	Remat (Per ISIN up to 100 shares)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
7.	Demat / Remat Rejection	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges
8.	Mutual Fund Destate	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
9.	Pledge/Margin Pledge per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
10.	Unpledge for all per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
11.	Pledge Invocation per ISIN	Rs. 19/-	Rs. 19/-	Rs. 30/-
12.	Periodic Statement: (a) By Email (b) Physical*	Free Rs. 25/- + (Courier Charges)	Free Rs. 25/- + (Courier Charges)	Free Rs. 100/- + (Courier Charges)
13.	Adhoc / Non-Periodic Statement Requests: (a) By Email (b) Physical	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges
14.	Delivery Instructions: (a) First Delivery Instruction Book (b) Every Additional Booklet*	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)
15.	Cheque Bounce / Per cheque	Rs. 299/-	Rs. 299/-	Rs. 299/-
16.	Failed Transactions	Rs. 49/- per transaction	Rs. 49/- per transaction	Rs. 49/- per transaction
17.	Modification in CML	Rs. 19/- per request	Rs. 19/- per request	Rs. 19/- per request
18.	Demat Closure Account	Nil	Nil	Nil

NOTE: *

All taxes separate as applicable. DP charges will debit on T+1 day basis from trading account.

***For Physical** (once a year) not chargeable.

* Every Additional Booklet courier charges Extra.

Female demat account holders (as first holder) will be discount of ₹0.25 per transaction on the CDSL fee.

An additional discount of Rs. 0.25 will be applied to debit transactions of mutual funds and bonds ISIN.



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

RUNNING ACCOUNT AUTHORISATION

**To,
Finvasia Securities Pvt Ltd**

FINVASIA CENTRE, D 179, Phase 8 B
(Sector 74) Mohali, Punjab 160055 (India)

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in ☐ 30 days or once in ☐ 90 days or such other higher period as allowed by SEBI/Stock Exchange time to time.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds expected to be required to meet future margin obligations, calculated in the manner specified by the exchanges.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking You

Yours faithfully,

Signature

Date:/...../.....

Name _____

Client Code _____

Name | | | | | | | | | | | | | | | | | | | | | |

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) ⁵			

* To include US, where controlling person is a US citizen or green card holder

⁴ If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.


⁵ In case Tax Identification Number is not available, kindly provide functional equivalent

⁵ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform FINVASIA SECURITIES PVT. LTD. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name		
Designation		
<div style="border: 1px solid black; padding: 5px;">  (Client Signature) </div>	Date :	<div style="border: 1px solid black; padding: 2px;"> <div style="display: flex; justify-content: space-between;"> <div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">M</div> </div> <div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">Y</div> </div> </div> </div>
	Place :	<div style="border: 1px solid black; width: 200px; height: 20px;"></div>

For Investor convenience, FINVASIA SECURITIES PVT. LTD. collecting this mandatory information for updating across all Group Companies of Stratagem FINVASIA SECURITIES PVT. LTD. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest FINVASIA SECURITIES PVT. LTD. branch or you can dispatch the hard copy to-

FINVASIA SECURITIES PVT. LTD.

FINVASIA CENTRE, D 179, Phase 8 B, Sector-74,

Mohali, Punjab-160055 (India)

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise.

Fees, Charges and deposits

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.

In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized use or

access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration/modification (Please cancel out what is not applicable).

DP ID	1	2	0	8	4	3	0	0	BO ID								
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1										
---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of : _____

E-mail Id : _____

The E-mail id is registered in the name of : _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**

Place : Date :

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

Date _____

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document:

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.



(Client Signature)

AUTHORISATION FOR ELECTRONIC COMMUNICATION

To,

Finvasia Securities Pvt. Ltd.

Date : _____

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74), Mohali, Punjab-160055 (India)

Sub : Authorisation for Electronic Communication

Dear Sir,

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. Email id : _____

2. Alternate Email id: _____

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you

Yours faithfully,

12

(Client Signature)

Client Name : _____

Client Code : _____

ACKNOWLEDGEMENT RECEIPT

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74), Mohali, Punjab-160055 (India)

**Application No.**

Date _____

Dear Sir,

I/We hereby wish to receive the below mentioned documents either electronically (email) or physically.

1. Rights & Obligation of Stock Broker/Trading Member, Auth. Person and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)
2. Rights & obligations of beneficial owner & depository participant as prescribed by SEBI & depositories.
3. Risk Disclosure Document (RDD) & Documents detailing Do's & Don'ts for Trading on exchange & Policies and procedures of the stock broker.

☐ Electronically (E-mail) ☐ Physically

Name of the Sole/First Holder	Name of the Second Joint Holder	Name of the Third Joint Holder

13

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE : TM DP	BRANCH CODE : RL/TL SUB BRANCH CODE :	CLIENT CODE TM : DP :
---	---	-------------------------------------

I.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
i)	Stamp Paper : <input type="checkbox"/>		
j)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> NSE CDS <input type="checkbox"/> BSE CM <input type="checkbox"/> BSE F&O <input type="checkbox"/> BSE CDS		
2.	Telephonic confirmation of Particulars done by _____ Date _____ Time _____ On Phone No. _____		
3.	Details Punched in Computer by _____		
4.	Cross Checking done by _____		
5.	<div style="display: flex; justify-content: space-between;"> <div> UCC UPLOADED : <input type="checkbox"/> NSE <input type="checkbox"/> BSE </div> <div> <input type="checkbox"/> ENTERED IN FORM DATA </div> </div>		
6.	BACK OFFICE WEB LOGIN User Name ID _____ Password _____		
7.	DP WEB LOGIN User Name ID _____ Password _____		
8.	Form sent to Surveillance by _____ Date : _____ Time : _____		
9.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
10.	INTERNET TRADING <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net <input type="checkbox"/> Fastrade User ID _____ Password _____		
11.	Client Account Status Report issued by _____		
12.	Form Returned to Compliance by _____ Date : _____ Time : _____		
13.	Kit Dispatched on _____ (Date) _____ Pod No. _____		

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
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DP ID	1	2	0	8	4	3	0	0	Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74)
Mohali, Punjab-160055 (India)

OPTION 1 :

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) in favour of Finvasia Securities Pvt. Ltd. for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member.

OR**OPTION 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date since I/we have issued a POA/registered for eDIS execute in favour of/with Finvasia Securities Pvt. Ltd. for executing delivery instruction for selling stock exchange trades (settlement related transactions) effected through such POA / eDIS .

I/We hereby select Option 1 Option 2

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Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “**Unique Client Code**” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within **24 hours** of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges.



(Client Signature)

Most Important Terms and Conditions (MITC)

[Forming part of the Terms and Conditions for providing research services]

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).
Note:
2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
2.2. The fee limit does not include statutory charges.
2.3. The fee limits do not apply to a non-individual client / accredited investor.
3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
10. For any grievances,
Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per 'Grievance Redressal / Escalation Matrix')
Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in
Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.



(Client Signature)